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Department of Defense
INSTRUCTION
AD-A269 411



1150 (111411)
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January 29, 1985
NUMBER 1300.14

SUBJECT: Enlisted Personnel Management Planning and Reporting

- References:
- (a) DoD Instruction 1300.14, subject as above, November 16, 1978 (hereby canceled)
 - (b) DoD Directive 1304.20, "Enlisted Personnel Management System," December 19, 1984
 - (c) DoD Directive 1304.21, "Award of Enlisted Personnel Bonuses and Proficiency Pay," April 21, 1982
 - (d) through (g), see enclosure 1

A. REISSUANCE AND PURPOSE

This Instruction:

1. Reissues reference (a) to update established policies and procedures for the documentation of plans and the reporting of data to be used for monitoring the progress of the Military Services toward meeting the objectives of the Enlisted Personnel Management System.
2. Provides guidance for maintaining Enlisted Personnel Management Plans as directed by reference (b).
3. Prescribes reports to be used to supplement enlistment and reenlistment bonus administration contained in DoD Directive 1304.21 (reference (c)) and DoD Instruction 1304.22 (reference (d)).

B. APPLICABILITY

The provisions of this Instruction apply to the Office of the Secretary of Defense (OSD) and the Military Departments. The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps.

C. DEFINITIONS

Terms used in this Instruction are defined in enclosure 2.

D. PROCEDURES

1. General. Enclosure 3 provides guidance for maintaining the Enlisted Personnel Management Plan. Enclosure 4 contains instructions for preparing and reporting enlisted data required to assist OSD in Program Objective Memorandum (POM) and budget reviews, and in policy assessment.

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2. Annual Budgets and Enlisted Plans. The Military Services' annual POM and budget programs will reflect achievement of the applicable Objective Force contained in the Enlisted Personnel Management Plan. Reports shall reflect an end-of-fiscal year position for each of the specified years. The Objective force referred to in this Instruction is the Program Objective Force as defined at enclosure 2. In the event a Military Service elects to submit "Steady-State Objective Force" data as supplemental budget and programs support, the data should be in Format 2 and Format 3 (enclosure 4).

E. REPORTS

1. Composite Annual Report. This complete report shall be prepared, based on the latest OSD-approved POM and any changes in the President's budget, and submitted as prescribed in enclosure 4 by March 15. Report Control Symbol DD-MIL(A) 1355 applies. Revisions may be submitted as required. For the current and budget years, changes to the total service level Objective Force must be submitted for OSD approval prior to execution. Changes, which are to be reflected in POM or budget submissions, must be received within 30 days after the applicable submission is sent to OSD.

2. Requirements. Annual reporting requirements, which will be used to monitor Military Service progress toward achievement of its Objective Forces, are specified in enclosure 4.

3. Marking. Reports submitted in accordance with this Instruction shall be marked "FOR OFFICIAL USE ONLY" as provided by DoD 5400.7-R (reference (g)) based on the Freedom of Information Act, exemption number 5. The office of record for these reports is the Officer and Enlisted Personnel Management (O&EPM) Directorate, Military Personnel and Force Management (MP&FM), OASD(MI&L), and access to the data is limited to O&EPM unless otherwise approved by the Deputy Assistant Secretary of Defense (MP&FM).

F. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward two copies of implementing regulations to the Assistant Secretary of Defense (Manpower, Installations, and Logistics) within 120 days.



LAWRENCE J. KORB
Assistant Secretary of Defense
(Manpower, Installations, and
Logistics)

Enclosures - 4

1. References
2. Definitions
3. Enlisted Personnel Management Planning Guidance
4. DoD Enlisted Personnel Management Planning Reports
Preparation Instructions

REFERENCES (continued)

- (d) DoD Instruction 1304.22, "Administration of Enlisted Personnel Bonus and Proficiency Pay Programs," April 20, 1983
- (e) DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1982, authorized by DoD Instruction 5000.12, April 27, 1965
- (f) DoD 1312.1-M, "Occupational Conversion Manual, Enlisted/Officer/Civilian," December 1982, authorized by DoD Instruction 1312.1, July 27, 1981
- (g) DoD 5400.7-R, "DoD Freedom of Information Act Program," December 1980, authorized by DoD Directive 5400.7, March 24, 1980

Appendix for	
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Justification	
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DEFINITIONS

1. Active Years of Service. Total Active Federal Military Service (TAFMS)--service creditable for retirement; also referred to as Time-in-Service (TIS) or Years-of-Service (YOS).
2. Authorization Plus Individuals. The Annual Force Structure Authorization added to Individuals which are used in development of the annually Objective Forces. Referred to as API.
3. Desired Promotion Time-in-Service. The TIS at the time of promotion, which must be met by those who are not promoted within the "waiver zone."
4. End Strength. The total number of active duty personnel within each Military Service by category at the end of the fiscal year.
5. Enlisted Personnel Management Plan. The complete set of resourced and mutually supporting personnel plans which when implemented in accordance with approved personnel policy, through operation of the Enlisted Personnel Management System, result in achievement of the annual Objective Forces.
6. Enlisted Personnel Management System. The total process by which enlisted personnel are developed professionally to satisfy force structure authorizations, (e.g., accessing, recruiting, training, assigning, promoting, rotating, transferring, discharging, reenlisting, and retiring military personnel). Also referred to as force renewal.
7. Force Structure Authorizations. Total budgeted or programmed manpower positions identified by grade, skill, and other relevant characteristics (e.g., unit, location, gender constraint, etc.) for a specified fiscal year. Also referred to as authorizations.
8. Individuals. Transients, trainees, patients, prisoners, holdees, cadets, and students who are included within the manpower program, but are not reflected within the force structure authorizations.
9. Military Specialty. Equates to Military Occupational Specialty (MOS) in the Army and Marine Corps, to Air Force Specialty Code (AFSC) in the Air Force, and rating in the Navy. Also referred to as specialty or skill.
10. Minimum Promotion Time-in-Service. The absolute minimum TIS an enlisted member must have to be eligible for promotion to the next higher grade without prior approval of ASD(MI&L) or designated representative.
11. Nonprior Service (NPS) Gain. An individual accessed into a Military Service from the civilian labor pool who has no prior military service in any active or active reserve force component.
12. Non-self Renewing Occupation Field (Non-SROF). A Military Service's aggregation of occupational specialties into a field whose members in the Under-four Component are insufficient in number to sustain the Over-four Component, and thus, lateral movement from another occupational field(s) is required for renewal of the Over-four Component.

13. Occupational Area. A one-digit occupational grouping of Department of Defense Enlisted Occupational Conversion Table established under DoD Instruction 1312.1.

14. Over-four Component (Personnel). Personnel with 4 or more years of completed active service (TAFMS); also referred to as career content or career force.

15. Over-four Input. The annual number of personnel completing 4 years of Total Active Federal Military Service (TAFMS) needed to enter the Over-four Component.

16. Personnel Force Structure. An actual or projected configuration of the enlisted force, which may be displayed by one or more characteristic, such as time-in-service, grade, specialty, gender, etc.

17. Prior Service (PS) Gain. An individual accessed into a Military Service whose last period of enlisted service occurred more than 90 days earlier, or an individual whose last Military Service was as an enlistee in another Military Service or in one of the active reserve components.

18. Professional Development. The process by which enlisted personnel are trained and utilized to satisfy authorizations in terms of skill, experience, and grade.

19. Program Objective Force. An achievable enlisted personnel force identified by grade and years of service, which supports accomplishment of the Military Service missions, and is based on force structure authorizations plus individuals for the current year through the program years. Referred to as Objective Force throughout this Instruction.

20. Self-Renewing Occupational Field (SROF). A Military Service's aggregation of related occupational specialties into a field whose members in the Under-four Component are sufficient in number to sustain the Over-four Component with minimum lateral movement from other occupational fields. Individuals within an SROF should possess similar aptitudes and abilities in order to be used among SROF specialties with minimum retraining.

21. Steady-State Objective Force. That enlisted personnel force structure by grade and years of service which supports attainment of long-term Service goals and missions, and which has the capability for orderly expansion or reduction. This force supports internal Military Service modeling, policy analysis, and planning. The Military Services may submit a Steady-State Objective Force to OSD as supplemental support for the Military Service personnel management program, but it is not required.

22. Top 5/6. The actual or projected numeric or percentage content in the top five enlisted grades (E-5 through E-9) or in the top six enlisted grades (E-4 through E-9).

23. Under-four Component (Personnel). Personnel with less than four (4) years of completed active service (TAFMS); also referred to as non-career content or non-career force.

24. Waiver Authority. The percentage of the serving force in a particular grade which may have, without prior ASD(MI&L) approval, less than the requisite desired promotion TIS at the end of each fiscal year. Waiver authority is constrained to by-grade content for E-2 through E-4, while it is tied to the level of detail at which each Military Service manages promotions to E-5 and above.

Enlisted Personnel Management Planning Guidance

1. Concept

a. Enlisted personnel have many characteristics that permit and require long-range planning by each Military Service. These characteristics include defined periods of enlistment and reenlistment, maximum years tenure in nine pay grades, common rates of basic pay and incentive pay, and established years of eligibility for retirement.

b. In each Military Service there are predictable variables relating to gains and losses by grade and years of service, promotion flow, and retention that, when combined with other characteristics, form the basis of an Enlisted Personnel Management System. Specific goals can be formulated for such a system based on strength and mission objectives stated in planning documents (such as the Five-Year Defense Program (FYDP)) and in programing documents (such as the Program Objective Memorandum (POM)).

c. The high annual cost of enlisted personnel, and the maintenance of a volunteer force require the establishment and maintenance of Enlisted Personnel Management Plans that provide greater visibility of Military Service objectives. An enlisted personnel plan that incorporates long-range personnel goals into an Enlisted Personnel Management System shall provide the basis for policy, procedures, and management of the enlisted resource. The plan constitutes those resourced or programed management actions that the Military Services intend to take in order to achieve the annual Objective Forces.

d. The annual Objective Forces provide an achievable target to which the personnel inventory can be managed in terms of Years-of-Service (YOS) and grade. Each of the annual Objective Forces is a result of analysis of the existing personnel inventory, the Authorizations Plus Individuals (API) for the current through the program years, and long-term personnel management goals. The annual Objective Force is achieved through execution of the Military Services' Enlisted Personnel Management Plan.

2. Guidance

a. General. Enlisted Personnel Management Plan of each Military Service shall be based on existing law and DoD policy. Changes desired to current laws or DoD policy may be cited as objectives and submitted under existing procedures. A major consideration in the plan will be the nature of personnel flow (force renewal) required to transition from current to future force structures.

b. Plan Content. The minimum content of the basic plan should consist of the following:

(1) A statement of the direction and purpose of the Enlisted Personnel Management System, and the policies to be executed to achieve the annual Objective Forces.

(2) A description and assessment of the current personnel force structure.

(3) An Objective Force distribution by years of service and grade for the total force, each two-digit Self-Renewing Occupational Field (SROF) or Non-SROF and each specialty for the current year, budget year, and first program year, and for the total force for the remaining program years. Military Services other than Navy retain the specialty level information at the Military Service level. The Objective Force profiles are to be updated annually and based on:

- (a) Size and composition of the existing force by grade and YOS,
- (b) Current and programmed API by grade and specialty,
- (c) Upward grade substitution and specialty substitution,
- (d) Loss management,
- (e) Annual accessions, reclassifications, and reenlistments,
- (f) Promotion points and opportunities, and
- (g) Cost.

(4) An assessment of the feasibility of transitioning from the existing force to the successive annual Objective Forces at a reasonable cost.

(5) An analysis of the methods and policies needed to transition between successive annual Objective Forces, such as procurement control, enlistment and reenlistment bonuses and controls, continuation management, skill classification and reclassification, and promotions.

(6) An evaluation of the grade and specialty match between the annual Objective Forces and the annual requirements as stated in the API. Justification of the Over-four Component and TOP 5/6 grade content must be in terms of meeting current or future API.

(7) Cost comparisons, which include cost of procurement, incentive pay, basic pay, allowances, FICA, retirement cost, basic training cost, and variable training costs.

c. Basic Variables. The basic variables shown in attachment 2 to enclosure 4 will be considered in the plan (data at specialty, two-digit SROF or Non-SROF, and total force levels are required for the current year, budget year, and first program years; only total force data are required for the second through fourth program year, and Military Services other than Navy retain the specialty level data at Military Service levels):

(1) The minimum timeframe for detailed projections shall be 6 years--the current year, budget year, and 4 program years.

(2) The base line strength for analysis of the current year Objective Force shall be the prior year actual end strength; subsequent year Objective Forces shall be compared against a base line strength represented by the previous year Objective Force.

3. Modifications. The Military Service-approved plan constitutes a statement of intent; its implementation will result in the achievement of the annual Objective Forces. The plan shall serve as a basis for discussion and justification of the Military Service Objective Forces and supporting resources and policies. Those portions of the plan, which change in response to the Objective Forces, will be revised accordingly. Modifications, which include changes that require OSD review or approval, may be submitted at any time prior to execution.

DoD Enlisted Personnel Management Planning Reports
Preparation Instructions

1. General Instructions. Each Military Service shall maintain its Enlisted Personnel Management Plan on a current basis so that analysis of operational enlisted personnel plans and programs may be made at any time in the budget cycle. As a minimum, the Objective Force profiles shall be updated annually. Changes at the total Military Service level for the current and budget years must be submitted to OSD for approval.

a. All personnel on active duty shall be reported as follows:

(1) For Military Services which, as a matter of policy, manage the enlisted force by primary military specialty even though members may possess more than one specialty, the primary SROF, Non-SROF, or specialty in which classified will be reported. Personnel attending a formal training course shall be reported in the SROF, Non-SROF, or specialty in which being trained.

(2) For all other Military Services, the SROF, Non-SROF, or specialty in which the member is being utilized on the effective date of the report.

b. Data submitted shall not differ from the criteria as given by the definitions or specified in format instruction without prior approval. Data omitted, due to unavailability at time of submission, shall be submitted by a separate submission as soon as available.

c. Years-of-Service (YOS) shall be expressed in Total Active Federal Military Service (TAFMS) and shall be depicted as follows: 1 year--all personnel with TAFMS of less than 12 months, 2 years--all personnel with 12 months of TAFMS but less than 24 months, etc.

2. Submission of Hard Copy Reports. Copies of the total force Objective Force summaries in the format at attachment 3 to enclosure 4 shall be submitted to OASD(MI&L) in addition to the computerized reporting instructions in paragraph 3. Justification of the annual Objective Forces shall be based on the Enlisted Personnel Management Plan and shall specifically address:

a. Assumptions that are essential to achievement of the Objective Forces (principally those assumptions with resource implications, such as authorizations, individuals, bonuses, etc.).

b. Transition methodologies that require OSD support or special consideration.

c. Changes to Military Service policies on use of minorities or women, enlistment or reenlistment, promotions, losses, and those which have impact on associated programs, such as force modernization, fleet expansion, etc., must be stated explicitly.

d. Resource implications.

3. Submission of Computerized Reporting Formats

a. Formats for automated input of the tables required by the Instruction are given in attachment 1 and 2 of this enclosure. Reports shall be submitted on magnetic tape compatible with IBM 360/370 hardware and, if possible, conform to the following technical specifications:

- (1) IBM standard header and trailer labels or unlabeled tape.
- (2) Density: 1600 BPI preferred.
- (3) Tracks: 9 tracks.
- (4) Record Length: 80.
- (5) Blocksize: 800 (80 x 10).

b. Send by certified mail to:

Defense Manpower Data Center
550 Camino El Estero, Suite 200
Monterey, California 93940

c. All submissions must be accompanied by a letter of transmittal indicating this DoD Instruction number, the Report Control Symbol, the reporting period, the number of records, and the tape specification.

d. All numeric data should be right justified with leading zeroes; alpha and alphanumeric data should be left justified with trailing blanks.

e. Use blanks for nonapplicable and nonavailable data (this applies to alpha, numeric and alphanumeric fields).

f. DoD Standard Data Elements are used when available and applicable. These data elements are published in DoD 5000.12-M (reference (e)).

4. Instructions by Format

a. Format 1 (Attachment 1). Consolidation of Skills by DoD Occupational Area

(1) Purpose. To show Military Service SROF's, Non-SROF's, and military specialties that are assigned to Occupational Areas (DoD 1312.1-M, reference (f)).

(2) Instructions

(a) In those instances where a SROF or Non-SROF has specialties in two or more Occupational Areas, it will be necessary to consolidate the specialties under a single Occupational Area for the purpose of this format.

(b) The rationale for the consolidation and listing of the SROF or Non-SROF, and the associated specialties assigned into Occupational Areas will be included.

b. Format 2 (Attachment 2). Objective Forces by Grade and Years-of-Service; Gains, Losses, Promotions. Preceding, Current, Budget, and Four POM Years. Total Enlisted Force and Each SROF, Non-SROF, or Military Specialty.

(1) Purpose. To depict:

(a) The Objective Force by grade and YOS along with supporting gains, losses, and promotions for the preceding, current, and budget years, and 4 POM years.

(b) The status of personnel planning and objectives in the areas of continuation management, procurement by terms of service, and input to the Over-four Component.

(c) Management objectives in the areas of strength, promotions, Top 5 and Top 6 grade content, Over- and Under-four Component content, and by-grade experience profiles.

(2) Instructions.

(a) Position 15. Insert code for period of the report.

(b) Positions 16-18. Enter designation for the SROF or Non-SROF (reported by Army, Air Force and Marine Corps). For the total force report, enter "TF."

(c) Positions 19-23. Enter designation for applicable military occupational specialty (reported by Navy only). For SROF or Non-SROF summary enter "OG" and for the total force summary enter "TF."

(d) Positions 24-25. Years of Military Service values.

1-30 = 1st through 30th year of service.

31 = 31 years of service and beyond.

32 = Unknown should appear only for preceding year.

33 = Grade totals.

34 = Grade Data

(e) Position 26. Grade Data Categories.

A = actual or projected authorization plus individuals (API).

B = losses due to separations at end of Military Service obligation.

C = losses due to retirements.

D = losses due to promotions to next higher grade.

E = losses due to reclassification out of occupational grouping or specialty; value will equal zero at total force level.

F = other losses such as reductions, attrition, eliminations, deaths, etc.

G-J = gains due to nonprior service accessions by length of enlistment.

K = gains due to prior service accessions; does not include immediate reenlistments.

L = gains due to promotions into applicable grade.

M = gains due to reclassifications into occupational grouping or specialty.

N = other gains such as reductions from a higher grade.

O-Q = state Military Service promotion criteria; as a minimum, the criteria must be shown in the total force summary. Report at occupational grouping and specialty level only when there is a variance from that shown for the total force.

R = percent waived will show the percent of the end strength serving below the desired TIS criteria established for each grade by reference (b). Percents will be reported to one decimal place, e.g., twenty-three point four percent would be reported as 0023.4.

S = states average TIS at the time of promotion into the applicable grade.

T = states average TIS at the time of promotion out of the applicable grade.

U = states average TIS of serving populations in the applicable grade or for the YOS Total.

V = reports officer candidates for each grade and the YOS Total (excluded from YOS 1-31 reporting).

W = reports reimbursables for each grade and the YOS Total (also included in YOS 1-31 reporting).

- (f) Positions 27-32. E-1/3 Number.
- (g) Positions 33-38. E-4 Number.
- (h) Positions 39-44. E-5 Number.
- (i) Positions 45-50. E-6 Number.
- (j) Positions 51-56. E-7 Number.
- (k) Positions 57-62. E-8 Number.
- (l) Positions 63-68. E-9 Number.
- (m) Positions 69-74. Grade Total Number.

Attachments - 3

1. Consolidation of Skills (Format 1)
2. Objective Force Profiles (Format 2)
3. Hard Copy Total Force Report (Format 3)

Format 1

Consolidation of Skills
by DoD Occupational Area

<u>Position</u>	<u>Description</u>
1	Card Identification-"A"
2	Service-DoD Standard Data Element-DE-NM (A-Army, N-Navy, M-Marine Corps, F-Air Force)
3	DoD Occupational Area (DoD 1312.1-M, reference (f))
4-5	Insert first two-digit SROF or Non-SROF included in the occupation area designated in position 3.
06-10	Military specialty
10-79	Insert the second through 14th military specialty included in the occupation area designated in position 3 as needed. Use additional cards as required.
80	Unused

Format 2

Objective Forces, Gains, Losses and Promotions
for the Preceding, Current, Budget
and 4 POM Years: Total Enlisted Forces and
SROF, NON-SROF, or Specialty

<u>Position</u>	<u>Description</u>
1	Card Identification - "B"
2	Service-DoD Standard Data Elements-DE-NM
3-8	Current Date-(YYMMDD)-DoD Standard Data Element DA-FA
9-14	As-of-Date-(YYMMDD)-DoD Standard Data Element DA-FA
15	Reporting Period
	1 - Preceding Year
	2 - Current Year
	3 - Budget Year
	4 - 1st POM Year
	5 - 2nd POM Year
	6 - 3rd POM Year
	7 - 4th POM Year
16-18	SROF or Non-SROF Identification (for USA, USAF, and USMC)
19-23	Specialty (Navy only)
24-25	Years of Military Service
	1-31 - Designates 1 to 31+ years of Military Service
	32 - Unknown years of Military Service
26	33 - Grade Totals
	34 - Grade Data Categories
	A - Authorizations plus individuals (ADI)
	B - End of Service Obligations (ETS)
	C - Retirements
	D - Promotions out of grade
	E - Reclassifications out
	F - Other losses
	G - Non-Prior Military Service input--2 year term of Military Service
	H - Non-Prior Military Service input--3 year term of Military Service
	I - Non-Prior Military Service input--4 year term of Military Service
	J - Non-Prior Military Service input--6 year term of Military Service
	K - Prior Military Service Input
	L - Promotions to grade
	M - Reclassifications in
	N - Other gains
	O - Promotion Criteria--minimum time-in-service (TIS)
	P - Promotion Criteria--maximum TIS
	Q - Promotion Criteria--minimum time-in-grade
	R - Percent waived
	S - Average TIS at promotion in
	T - Average TIS at promotion out
	U - Average TIS of serving populations
	V - Officer Candidates
	W - Reimbursables

27-32
33-38
39-44
45-50
51-56
57-62
63-68
69-74
75-80

E-1/3 Number
E-4 Number
E-5 Number
E-6 Number
E-7 Number
E-8 Number
E-9 Number
Total Grade Number
Unused

Format 3
Hard Copy Total Force Report
(Service) Objective Force

YEAR____ (date of prior, current, budget, or applicable program year)
Summary level Total

A. END STRENGTH BY GRADE BY YEARS OF SERVICE:

<u>YOS</u>	<u>//GRADE</u>	<u>E-1/3</u>	<u>E-4</u>	<u>E-5</u>	<u>E-6</u>	<u>E-7</u>	<u>E-8</u>	<u>E-9//</u>	<u>YOS TOTALS</u>
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
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25									
26									
27									
28									
29									
30									
31+									
GRADE TOTALS:									
AUTH + INDIV: (API)									
Difference:									

B. LOSSES

- ETS
- Retirements
- Promote out
- Reclass out
- Other

C. GAINS

- NPS
 - 2 yr
 - 3 yr
 - 4 yr
 - 6 yr
- PS
- Promote in
- Reclass in
- Other

D. PROMOTION POLICY

- Minimum TIS
- Maximum TIS
- Minimum TIG
- % Waiver
- AVG TIS in
- AVG TIS out
- AVG TIS at

E. OFFICER CANDIDATES

F. REIMBURSABLES